



Employee Performance Planning and Appraisal in **Missouri State Government**

PERforM
Productivity, Excellence and Results for Missouri



A Guide for Supervisors and Managers

Developed by

State of Missouri
Office of Administration
Division of Personnel

June 2007 Edition

Table of Contents

Who Is To Be Appraised	4
Types of Appraisals	5
First Glance: The PERforM Process	6
The Performance Cycle	7
Performance Planning: Establishing and Communicating Performance Objectives	
Communication at the Beginning of the Appraisal Period	10
Using Established Performance Components.....	12
Creating Performance Objectives for Performance Components.....	21
Using SMART Criteria	24
The Performance Grid	26
A Process for Writing Performance Objectives.....	27
When Performance is Difficult to Quantify	28
Entering Performance Objectives into the PERforM System.....	29
Communicating Performance Objective to the Employee	33
Continuous Observation, Documentation and Feedback	34
Performance Appraisal	40
Common Rating Errors to Avoid	41
Using Comments to Explain and Support Rating Decisions	42
Evaluating and Rating Performance Components	43
Distribution of Performance Ratings	44
Next Level Approval	45
Employee Comments	46
Creating An Appraisal Using PERforM	48

Purpose

This material will provide information about the PERforM System and the employee performance cycle—providing “tips,” key steps and examples to help system users develop, communicate and evaluate key performance objectives for employees.

Why do Performance Appraisals?

A performance planning and appraisal process...

Helps Employees:

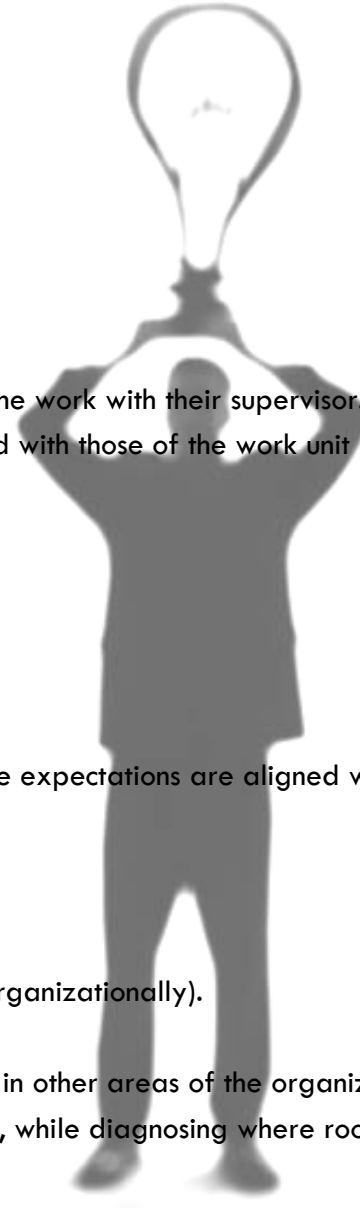
- ☐ Receive a clear indication of the most important aspects of the job.
- ☐ Understand the level of performance that is expected for success on the job.
- ☐ Have opportunity for input into decisions concerning the job.
- ☐ Pursue training and development opportunities for performance enhancement.
- ☐ Receive feedback about their performance and time to discuss other aspects of the work with their supervisor.
- ☐ Realize performance improvement when their individual expectations are aligned with those of the work unit and the agency.

Helps Supervisors:

- ☐ Identify areas of strengths and weaknesses of employees for development.
- ☐ Communicate objectives and expectations for performance to the employee.
- ☐ Provide information to the employee on their performance.
- ☐ Develop employees, and helps supervisors develop in their role.
- ☐ Identify employees for project assignments or promotional opportunities.
- ☐ Realize performance improvement for their area of responsibility when employee expectations are aligned with unit objectives.
- ☐ Identify areas where further improvement is necessary.

Helps Managers:

- ☐ Identify employees for promotional opportunities.
- ☐ Identify training and development needs (individually, within the work unit and organizationally).
- ☐ By providing a basis for compensation decisions.
- ☐ Identify employees whose knowledge, skill and abilities might be better applied in other areas of the organization.
- ☐ Realize increases in productivity by their work units and by individual employees, while diagnosing where room for improvement remains.



Who Is to be Appraised?

Any employee who...

- ☐ Has 12 months of state service by January 1 in the year in which the appraisal is being completed (based on SAM II Leave Progression Start Date); and
- ☐ Is in a benefits eligible position as designated by the agency.

All employees who meet the above criteria will be required to have one annual performance appraisal completed between January 1 and March 31 of each year. Employees who do not meet the above criteria may be may be directed by state policy, agency policy, or the Director of the Division of Personnel to receive an annual appraisal conducted in the PERforM system.

Any employee who meets all of the above criteria may be exempted from having an annual appraisal. The immediate supervisor will be responsible for making this exemption which must be approved by the next level supervisor. Such exemptions must be done in accordance with all applicable state and agency policies. (e.g. An employee may transfer to your agency in December with enough prior state service to be included in the required rating group yet does not have enough time with your agency to accurately assess his or her performance.)

Types of Appraisals

The PERforM system will accommodate three types of performance appraisals:

Annual (Required)

All employees covered by the PERforM system will be required to have one (1) annual appraisal rating per year during January 1 and March 31. Each agency will notify their employees of the specific timeframe in which the annual appraisal should be completed.

Annual appraisals can serve as the basis for determining, among other things: developmental needs for employees; potential promotions for employees; eligibility for within-grade salary advancements; order of layoff and/or reinstatement from layoff; and potential disciplinary action.

No employee will be allowed to have more than one annual rating per year except in the case when a rating is amended either by a decision of the agency or as a result of an employee inquiry. Amended annual ratings will replace the original rating.

Original Probation

The PERforM system will accommodate ratings for the end of an employee's probationary period at anytime during the year. Probationary performance appraisals may be optional for some agencies and required by other agencies. They generally occur at the end of an employee's probationary period and serve to indicate whether the employee's probation should be ended or extended.

Special

Special performance appraisals are also optional in the PERforM system but may be required by other state or agency policies. Special appraisals may be used to accommodate any type of rating as required by an agency policy or desired by the immediate supervisor. Examples of circumstances for special appraisals include, but are not limited to:

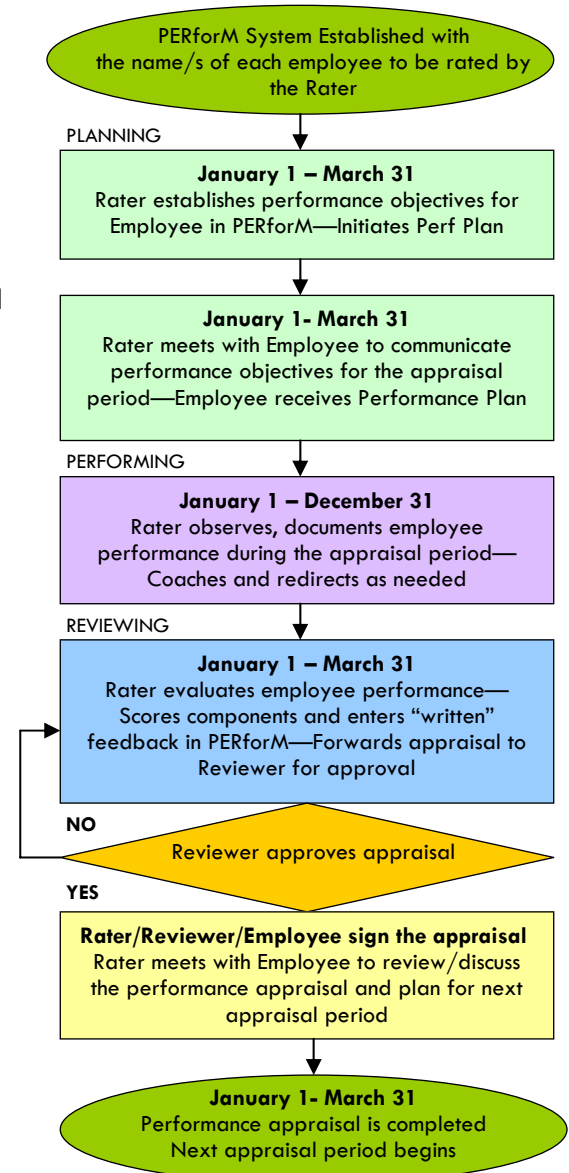
- ☐ Interim performance appraisals scheduled as quarterly, semi-annually, etc.
- ☐ As a means to improve specific areas of employee performance (i.e., improvement plan)
- ☐ Change in supervisor
- ☐ Lateral transfer

NOTE: The PERforM process will allow one (1) active appraisal at a time per appraisal type, per employee, per appointment to decrease any confusion the employee may have in determining which objectives he or she is expected to meet.

First Glance: The *PERforM* Process

- The performance appraisal process will be based on five (5) standard performance components that will be used for all employees – regardless of the agency they work for (supervisors will have 3 additional components) .
- Supervisors (Raters) will be responsible for developing position specific and measurable performance objectives for the components of each employee he or she supervises.
- Performance objectives must be established and communicated (verbally and in writing) to all employees at the beginning of the appraisal period which typically begins on January 1.
- Supervisors will observe, document, coach, redirect and provide interim reviews as needed for employees during the appraisal period to provide every opportunity for employees to succeed in their jobs.
- All employees will receive an ANNUAL performance rating between January 1 and March 31 each year as determined by each agency.
- Supervisors (Raters) will score employees on a 1 – 10 scale for each component via the PERforM System. The average score for all components will automatically determine the employee's overall performance rating:
 - Exceptional
 - Outstanding
 - Successful
 - Needs Improvement
- Ratings must be approved by the next level supervisor (Reviewer) before being communicated to the employee – and must be signed by the Rater, Reviewer and employee before the appraisal can be considered complete.
- Employees will be given an opportunity to respond to their rating after the appraisal is complete.
- After the completion of the rating period, the Division of Personnel and each applicable agency may review and analyze statistical reports to develop and support personnel related recommendations regarding the performance of state employees.

Annual Appraisal Process



PERforM

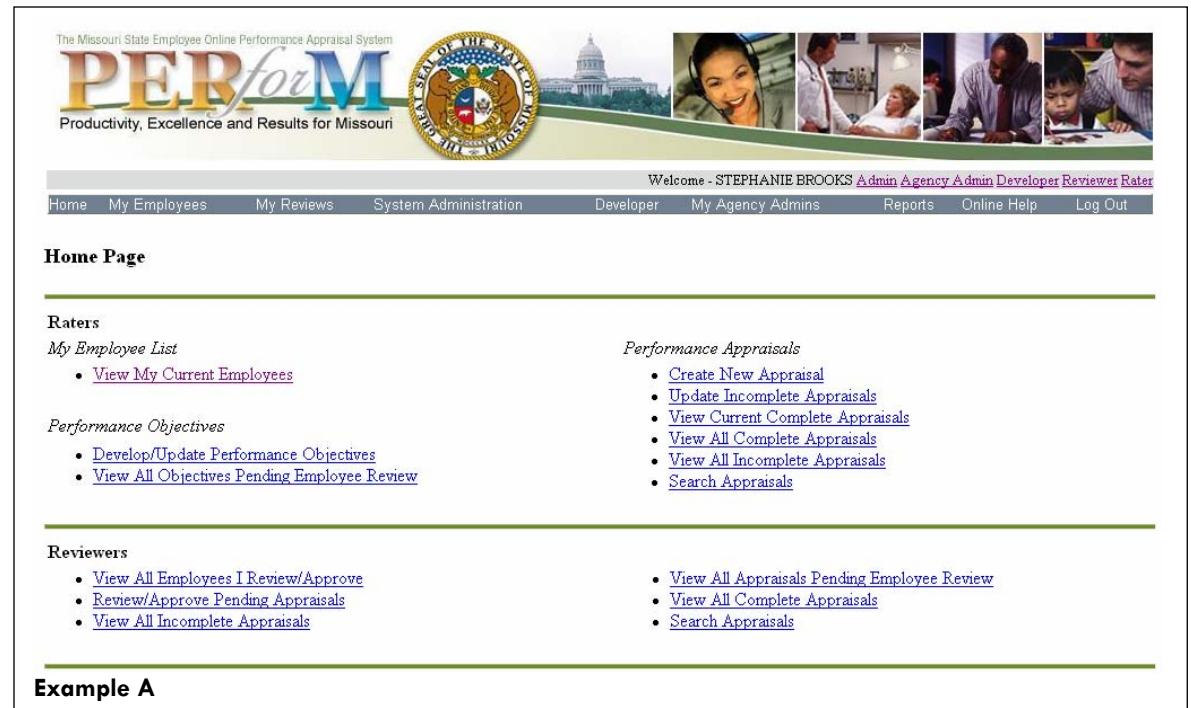
The State of Missouri's Online Employee Performance and Appraisal System

PERforM

The secure online PERforM System located on the State of Missouri's Intranet provides supervisors (Raters) and Reviewers with an easy-to-use tool to successfully manage each phase of the performance cycle.

From the supervisors Home Page (Example A), he or she can access other links to:

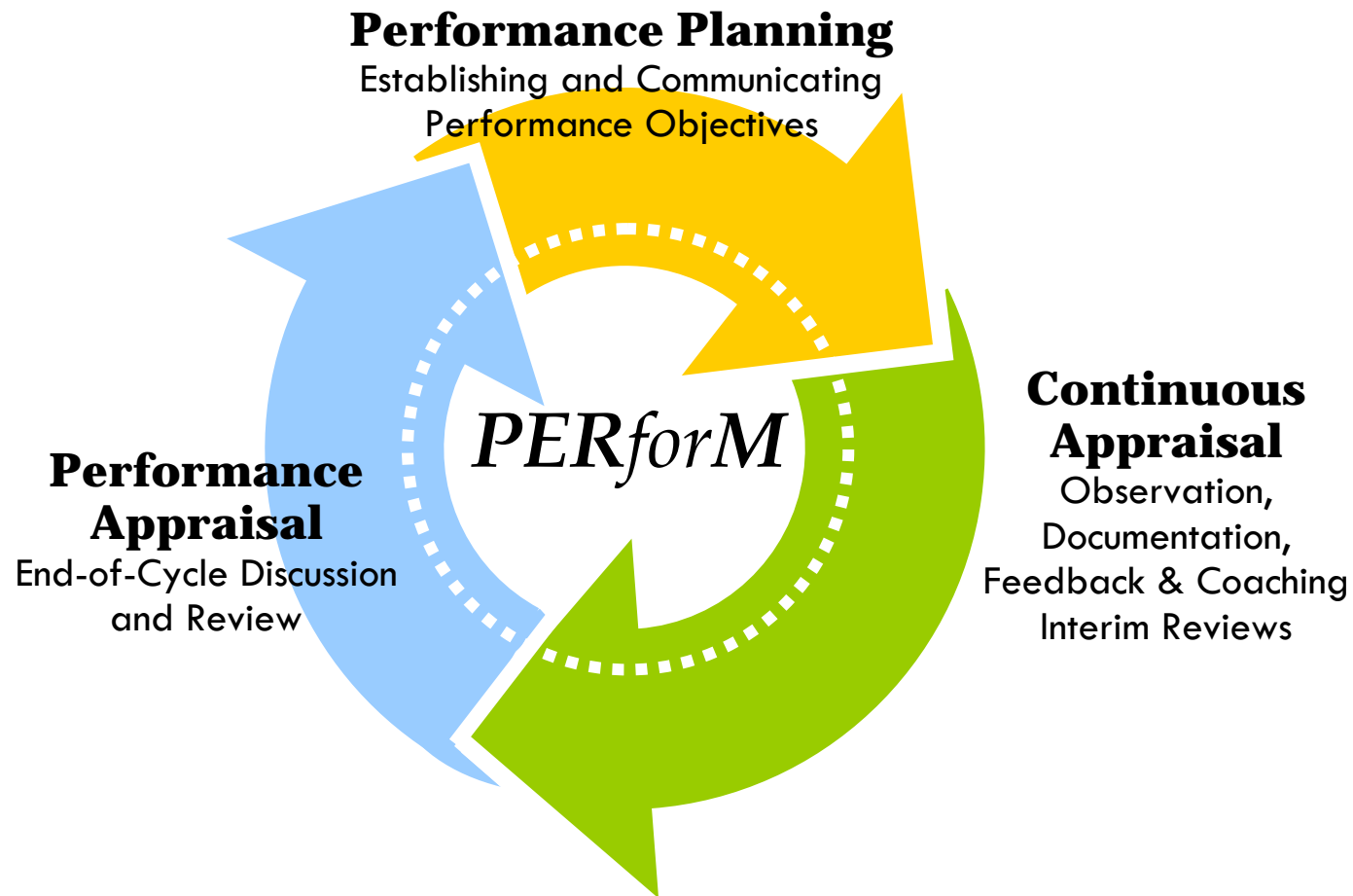
- ☐ Develop and update performance objectives for employees.
- ☐ Track current and pending appraisals
- ☐ Evaluate (score) each employee's job performance in each performance component
- ☐ Provide written feedback on each employee's appraisal document
- ☐ Attach documentation to support performance ratings
- ☐ Generate written Planning and Appraisal documents for employee's to sign
- ☐ Initiate other Probationary or Special Appraisals as needed
- ☐ View appraisal history for employees they supervise

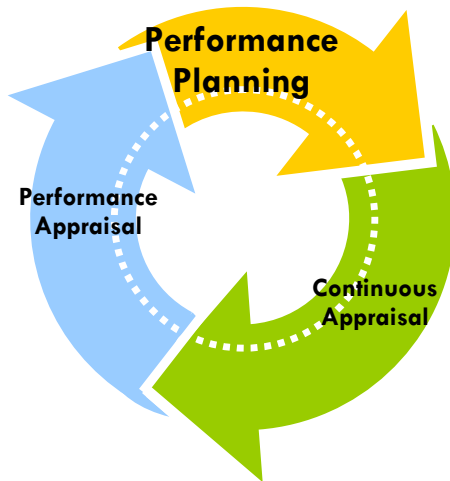


Home Page functionality includes clickable links on **action words** (Develop/Update Performance Objectives, Create New Appraisals, and View/Update Appraisals) that take the user to another page where the selected action is performed.

Learn more about each function and screen in PERforM at www.perform.mo.gov

The Performance Cycle





The Performance Cycle

Performance Planning: Establishing and Communicating Performance Objectives

During this phase, the supervisor and employee meet to discuss the duties of the position and what constitutes “SUCCESSFUL” performance of these duties. This meeting/s will give the employee a clear understanding of his or her job and the supervisor’s expectations for satisfactory performance. A performance planning meeting will take place at least once a year.

Prior to—or as a result of the employee/supervisor meetings, supervisors will have the responsibility to create a written work plan for each employee he or she supervises documenting expected performance objectives.



Communication at the Beginning of the Appraisal Period

The success of the PERforM system depends to a large degree on the communication between the supervisor and employee at the beginning of the appraisal period to explain the appraisal process—and initiate an ongoing dialogue centered around the achievement of performance objectives.

The supervisor must ensure that:

- ☐ The employee understands the process;
- ☐ Performance objectives are clearly understood;
- ☐ Every effort is made to achieve agreement on the reasonableness of the objectives;
- ☐ The employee understands that the rating at the end of the appraisal period will reflect performance as measured against established performance objectives;
- ☐ The employee understands that the supervisor will provide reasonable assistance throughout the appraisal period including feedback as to the employee's progress;
- ☐ The employee understands that the supervisor is committed to taking action necessary to promote the success of the organization.

Idea!

Defining and communicating to employees the overall purpose – or essential function – of their jobs can pave the way for any discussion about performance. It communicates how the employee fits into the organization's "big picture" and why their job performance is important. To create a clear and meaningful job purpose, try using this simple formula:

The _____ is responsible for
(Job Title)
_____ to _____.
(What) (Why)

"Job title" is the title of the job. This may be the actual job classification or the agency-specific working job title.

"What" describes the main function of the job. It is not the place to list all job tasks.

"Why" explains why the job is done. This should be stated very clearly to avoid confusion. When an employee understands the why of their job, they are more likely to be motivated and to understand their role in the organization.

Here's an example of a clearly defined job purpose:

Job Title →
The financial accountant is responsible for
What → completing all ledger entries and balances to
provide an accurate record of division
transactions and for the preparation of
monthly, year-end and statutory accounts.
← Why

Career Development

Career Development is also an important part of the performance planning process. It provides the opportunity to discuss employee interest in activities that could develop new knowledge, skills, abilities, and further career goals.

While some supervisors may prefer a separate meeting for this type of discussion, whenever the discussion occurs, it should happen not less than once a year.

Some of the purposes for discussing an individual's career development goals include:

- ☐ Identifying job duties that could be strengthened or enriched to support growth and development in the employee's current position.
- ☐ Determining training needs which could enhance employee performance and expertise.
- ☐ Discussing areas of dissatisfaction in a current position and possible opportunities for change.
- ☐ Identifying individuals who are interested in advancing within their occupational area.
- ☐ Preparing employees for higher level positions within the agency
- ☐ Coaching individuals who wish to pursue other career opportunities either because they desire a change or have reached a plateau in their current position.

A career development discussion may also head off potential performance problems due to the employee's loss of interest, insufficient training, or inadequate challenge.

Employees should only be expected to participate in career development discussions on a voluntary basis, and it is not necessarily an issue for all staff members.

Encouraging Ideas

Employees may have useful suggestions concerning their own developmental activities, but the supervisor should be prepared with suggestions too.

Options to consider may include:

- ☐ State sponsored/outside training programs
- ☐ Academic programs for adult learners
- ☐ Reading materials, training videos, etc.
- ☐ Developmental assignments
- ☐ Rotation of job assignments
- ☐ On-the-job training
- ☐ Participation in committees/special projects
- ☐ Leading a change initiative
- ☐ Attending meetings with or in place of the supervisor
- ☐ Mentoring a co-worker
- ☐ Representative to an inter-agency task force
- ☐ Writing and presentation skills development

Performance Components

A performance component is a major area of responsibility critical to the success of each employee's job. New to the State of Missouri's appraisal process is the establishment of "across-the-board" performance components used to evaluate all employees.

Employees:

State employee (regardless of job classification) will be rated on 5 specific components.

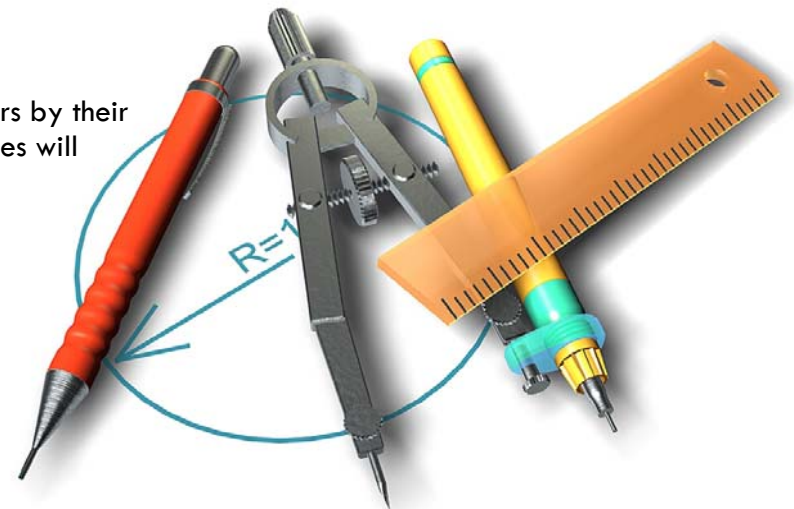
1. Knowledge of Work
2. Quality of Work
3. Situational Responsiveness
4. Initiative
5. Dependability

Supervisors/Managers:

In addition to the 5 components listed above, individuals designated as supervisors by their agency that have performance appraisal responsibility for one or more employees will also be evaluated on the following 3 components:

1. Performance Planning and Documentation
2. Leadership
3. Management Skills

Information about each component begins on the next page.



Performance Components

Knowledge of Work

Definition:

The employee's technical knowledge of job functions they are required to perform and the general understanding of the policies, procedures and processes as they relate to the overall mission of the organization.

This component should also address the employee's ability to obtain new skills and further develop his or her existing skills through attending and successfully completing optional or required training as well as the employee's ability and willingness to share knowledge with team members.

Examples of Performance:

- ❑ Successfully complete formal training sessions and fulfill prescribed continuing education requirements.
- ❑ Train other staff on policies and procedures or use of equipment.
- ❑ Obtain required certifications or licenses.
- ❑ Use expertise to make a work process more efficient by reducing costs, reducing lead times and/or improving accuracy.
- ❑ Be aware of and use available resources to find answers, solutions and ideas.

[illegible]

Performance Components

Quality of Work

Definition:

Addresses the level of accuracy and proficiency with which the employee completes assigned work.

Examples of Performance

- ☐ Ensure projects are completed on time.
- ☐ Day-to-day activities occur as scheduled.
- ☐ Work products (e.g. reports, registrations, inspections, etc.) are complete, accurate, timely and understandable.
- ☐ Reduce workplace injuries.
- ☐ Reduce incidents of client/resident/inmate abuse and neglect.
- ☐ Assess the consequence of errors upon operations, reports, service delivery, etc.

[illegible]

Performance Components

Situational Responsiveness

Definition:

This component addresses the employee's skills and abilities to respond to internal and external stakeholders, develop and maintain effective relationships, respond to inquiries and circumstances as necessary as well as the employee's ability to tolerate stressful situations, adapt to changes and remain alert and aware of his or her surroundings. This includes the employee's proficiency and accuracy of written and verbal communication as well as the employee's ability to maintain the correct balance between tact and firmness.

Objectives for this component can vary depending on the focus of the particular position. This component encompasses the performance related accomplishments and problems typically associated with the employee's work attitude and demeanor that can often be difficult to objectively evaluate on their own.

This is the broadest component and provides an opportunity to consider the employee's ability to exhibit stability and consistency of performance under pressure, challenge, opposition, confrontation, heavy work load, criticism and changing priorities.

Examples of Performance:

- ☐ Respond to/tracks customer complaints/concerns.
- ☐ Maintain appointment schedules to reduce wait times.
- ☐ Effectively communicate with family members of clients/residents/inmates.
- ☐ Exhibit a willingness to work in a team.
- ☐ Communicate openly and honestly with superiors, peers and subordinates.
- ☐ Actively listen to new ideas of others.
- ☐ Understand and value diversity in the workplace.
- ☐ Maintain a professional attitude when receiving assignments.
- ☐ Remain calm and reasonable in tense situations.
- ☐ Deliver negative feedback to others in a constructive and private manner.
- ☐ Shift focus based on the priorities of the organization without negatively impacting the organization's mission.
- ☐ Accept constructive feedback.
- ☐ Contribute and listen during meetings, training and other group discussions.
- ☐ Remain cognizant of potential security breaches in a prison or psychiatric hospital.
- ☐ Proactively address health and safety risks prior to injuries.

[illegible]

Performance Components Initiative

Definition:

This component addresses the employee's ability and desire to actively seek out new solutions, tasks, opportunities or development that improve the organization's ability to accomplish its mission in a more effective and efficient manner as well as improve the employee's value to the organization by furthering his or her own professional development.

Examples of Performance:

- ❑ Seek to assist team members and supervisors beyond the regular position requirements.
- ❑ Look for opportunities to improve processes that lead to reduced costs, reduced lead times and/or increased accuracy.
- ❑ Act independently without specific instruction, as appropriate.
- ❑ Remain results oriented, where applicable.
- ❑ Notice problems and develop options for potential solutions.

[illegible]

Performance Components

Dependability

Definition:

This component addresses the employee's ability to complete assignments accurately and on-time as well as the employee's ability to follow required procedures and guidelines. This area may also be used to assess the employee's attendance for attendance sensitive functions.

Examples of Performance:

- ☐ Meet prescribed project deadlines as assigned.
- ☐ Respond to inquiries (calls, emails, etc.) from stakeholders in a timely manner.
- ☐ Arrive to work on time and minimize unscheduled absences.
- ☐ Schedule sick and annual leave responsibly.
- ☐ Do not abuse sick leave.

[illegible]

Supervisor/Manager Components

Performance Planning and Documentation

Definition:

Addresses the employee's ability to ensure adequate supervision of his or her applicable staff, primarily focusing on the accuracy, completion and communication of the performance planning and appraisal process.

Examples of Performance:

- ❑ Complete performance appraisals of direct reports on time.
- ❑ Ensure distribution of overall performance rating scores of all direct and indirect staff members conform to PERforM guidelines/policy.
- ❑ Resolve all employee responses to performance ratings in a timely manner as directed by policy.
- ❑ Clearly outline and communicate performance objectives to employees at the beginning of each appraisal period.
- ❑ Change/update performance objectives for employees throughout the year if and/or when circumstances dictate.
- ❑ Appropriately document employee performance throughout the year to praise, redirect and evaluate the employee's work as needed.

[illegible]

Supervisor/Manager Components

Leadership

Definition:

Addresses the employee's ability to effectively motivate, direct and enhance the performance of employees.

Examples of Performance:

- ❑ Clearly communicate direction but allow staff to complete assigned work.
- ❑ Delegate effectively.
- ❑ Encourage and create a motivating atmosphere that allows direct reports, peers and other team members to excel.
- ❑ Identify and provide professional development opportunities for staff.
- ❑ Do not avoid necessary frank discussions and actions.

[illegible]

Supervisor/Manager Components

Management Skills

Definition:

Addresses the employee's ability to oversee a process or project; the ability to organize, plan and strategize; exhibit judgment and independent discretion; and use resources effectively.

Examples of Performance:

- Clearly assign and identify areas of responsibility for all staff.
- Set clear objectives and measures.
- Monitor processes, progress and results.
- Clearly set and communicate work priorities.
- Make timely and consistent decisions that lead to favorable results.
- Probe multiple sources to obtain answers.
- Objectively evaluate data and information without allowing expected or desired outcomes to bias analysis.
- Effectively manage time of self and all direct or indirect reports.
- Avoid duplication or redundancies of work.
- Regularly seek out opportunities to reduce operating costs without decreasing services.
- Ensure staff is able to obtain necessary supplies, equipment and training to perform effectively.

[illegible]

Creating Performance Objectives for Performance Components

Performance components describe major areas of the employee's job.

Performance objectives describe the level of performance the employee is expected to achieve for each component.

Establishing the correct performance objectives for each component is critical to the employee's success and the PERforM process.

- Supervisors (Raters) are responsible for developing performance objectives for each component on the employee's planning document. **This can also be a collaborative process between supervisor and employee.**
- At least one performance objective must be established for each component. Typically 3 – 7 objectives are needed to provide the specific direction and instruction the employee needs to be successful.
- Performance objectives must focus on position specific assignments, tasks, goals or projects that the employee is expected to complete during the appraisal period and should be consistent with the organizational goals and mission as well the specific duties of the position as described in the position description and classification specification.
- It is not necessary (and often not possible) to write objectives for every task. Objectives should focus on tasks or areas of greatest importance.
- In agencies where more than one person performs the same job task or function, objectives may be written for the parts of the jobs that are the same and applied to all positions doing that task.

Performance objectives should always be written to reflect performance at the level of a trained, experienced "SUCCESSFUL" employee.

Types of Performance Objectives

Performance objectives typically fall into three categories:

Routine Objectives

Routine objectives are based on tasks or assignments that the employee is expected to do on a regular basis. These objectives are generally consistent from one appraisal period to the next and part of the employee's day-to-day work process.

Project Objectives

Other performance objectives may change with each appraisal period (i.e., **special projects**). These objectives are based on specific assignments to be completed or meet a specified stage of completion during the appraisal period. These objectives may change significantly from one appraisal period to the next. In some cases these objectives may evolve to become routine objectives in later appraisal periods after the project has reached the implementation phase.

Developmental Objectives

Developmental objectives are chosen to enhance the employee's performance and prepare the employee for future positions and growth within the organization. Raters (supervisors) and employees should work together to determine if/when specific developmental objectives should be part of the employee's performance plan.

Properly Written Performance Objectives:

- ☐ Allow employees to understand what is expected of them from the beginning of the appraisal period making it easier for them to “hit the mark” and perform well.
- ☐ Enable the supervisor to more readily observe, document and coach rather than someone called upon to make broad judgments about the employee (i.e., evaluate the work, not the worker).
- ☐ Provide the employee a means of self-measure.
- ☐ Provide tangible means of clarification if/when disagreements about work assignments arise.
- ☐ Allow for an accurate comparison of “what was done” to “what was expected,” thus reducing Rater error in the final evaluation phase.

Make Your Performance Objectives **S M A R T**

Many supervisors (raters) find it helpful to use **SMART** criteria when writing their objectives:

Specific means that an observable action, behavior, or achievement is described.

- ☐ It can also mean that the work relates to a rate of performance, frequency, percentage or other number. The objective should be specific about the result—not the way it is achieved.

Measurable means that a method or procedure must exist to assess and document the quality of the outcome.

- ☐ Some work is measured easily; in other cases, behaviors or results need to be verified or observed.

Achievable means that the objective must be obtainable.

- ☐ The best objectives require employees to stretch to obtain them—but they aren't extreme. That is, the objective is neither out of reach nor below standard performance. Objectives set too high or too low become meaningless, and employees naturally come to ignore them.

Realistic means that you (and the employee) have the resources to accomplish the objective.

- ☐ Just because an objective is *achievable* doesn't necessarily mean that it is realistic or relevant.

Time-bound means that there is a point in time when the work objective will start or be completed.

Performance Objectives: A Closer Look

Depending upon the job, performance objectives can be written in a variety of ways as outlined below.

Objective:	Description:	Example:
Quantity	Specifies how much work must be completed within a certain period of time.	"Complete at least 50 claims per week."
Quality	Describes how well the work must be accomplished; specifies accuracy, precision, appearance, or effectiveness.	"95% of reports are completed without necessary revision."
Time-Based	Answers the questions: By when, how soon, or within what period.	"File reports to correct agency within 3 days of receiving the claim."
Resource	Used when desired performance should result in money saved or earned, hours worked are reduced, materials are not wasted, etc.	"The computer handbook project will be completed with only internal resources."
Behavior	Describes conditions in which an individual's behavior (attitudes, mannerisms, etc.) has an effect on performance.	"Speak courteously to clients to maintain a positive image for the agency."
Regulation	Used when only the officially-prescribed policy, legislative mandate, procedure, or rule for accomplishing the work is acceptable.	"Forms will be completed according to Federal mandates."
Effects of Effort	Addresses the ultimate effect to be obtained; expands statements of effectiveness by using phrases such as: so that, in order to, or as shown by.	"Establish inventory levels for storeroom so that supplies are maintained 100% of the time."

The Performance Grid: A Tool for Clarifying Performance Objectives

The Performance Grid is a tool that can help Raters develop performance objectives for employees in an organized fashion—and from four different perspectives.

The “Grid” asks the following questions:

1. What new activities, projects or tasks do you want the employee to do that he or she has not done before? (Achieve)
2. What critical functions or tasks must the employee continue to do? (Maintain)
3. What actions should the employee take or prepare for to prevent potential pitfalls that could hamper his or her performance or the continued delivery of products and services? (Avoid)
4. What specific behaviors of the employee or current work processes must be changed (or discontinued) to improve individual and organizational effectiveness? (Eliminate)

How do these areas translate into specific performance objectives for your employees?

The Performance Grid

Do you have it?	NO	I Achieve	III Avoid
	YES	II Maintain	IV Eliminate
		YES	NO
		Do you want it?	

A Process for Writing Performance Objectives:

1. Spend some time initially thinking about the organization, your team's mission and your employees.
 - ☐ What work processes are team members responsible for completing?
 - ☐ What processes are in need of improvement?
 - ☐ What are the developmental needs of the people you supervise?
 - ☐ What needs to get done—and who needs to do it?
2. Think about the position and the person for whom the objective will apply. What other information do you need (i.e., position description, previous appraisals, notes from discussions with the employee, etc.)?
3. Think about the first component (Knowledge of Work) and draft the first objective.
 - ☐ What does the objective address (routine job function, special project, development goal)?
 - ☐ How does the objective apply to the job component?
4. Now that you have something down on paper, think about why the objective is needed.
 - ☐ What results does it produce?
 - ☐ What outcomes will it have?
 - ☐ Why are those important?
5. If necessary, modify the outcome to **emphasize results instead of activity**.
6. Next, think about ways of measuring the work you have begun to specify in the objective.
 - ☐ How can you tell whether or not the work or results occurred?
 - ☐ What is the measure of those results – Quality? Quantity? Speed? Accuracy? Frequency?
7. Go back to your objective – does it include a measure?
8. Think about the timeframe in which the objective (work) is to be accomplished - specify deadlines, timeframes, due dates, etc. as needed.
9. If you think it will help, ask your boss (the Reviewer) what he or she thinks the objective means, or ask the employee who is to be accountable for meeting the objective what he or she thinks it means.
10. If you believe there is any room for misinterpretation, rewrite the objective again.

Remember...

When writing objectives, be clear about what results you want to achieve.

For example:

You consider establishing the following objective for one of your employees:

"Contribute more to team meetings."

To determine if this is really the objective you want to use, ask yourself the following questions:

Q: Why do I want the employee to do this?

A: So other team members know what specific projects the employee is working on.

Q: Why do other team members need to know about the employee's projects?

A: So they will be more effective in their own projects and avoid duplication of effort.

The objective instead becomes:

"Provide all team members weekly updates on your projects in order for them to work effectively on their own projects."

When Performance is Difficult to Quantify

Sometimes the difference between marginal, successful and exceptional performance is high achievement in a few subtle aspects of ability or behavior such as showing enthusiasm, encouraging openness, or building strong professional relationships. These aspects of performance can be fundamental to results, but, because they are difficult to quantify, they can all too easily be neglected.

Supervisors and managers who can identify those aspects and communicate them to their employees stand a better chance of encouraging high performance from their staff and more readily justify their performance appraisal comments and ratings.

INSTRUCTIONS: Consider one of the jobs that reports to you which you believe may have a performance objective that is difficult to quantify in terms of performance. Briefly describe the job and/or objective in the area indicated below. Next, consider each of the three performance levels listed. Indicate what critical behaviors, actions or results, either achieved (or not achieved) by an employee in this job would represent (or justify) each performance level.

Job and/or Objective:	
Performance Level	Critical Behaviors, Actions or Results
Marginal or below. The employee fell short of the objective. Improvement is needed.	
Shows Appropriate Ability. The employee successfully met the goal or purpose of the objective.	
Exceeded Expectations. The employee's performance surpassed what I expected for this objective.	

Entering Employee Performance Objectives into the PERforM System


Initiating the Process:

Raters can begin to enter performance objectives for employees in PERforM by either selecting this function from the drop-down menu under "My Employees" or by using the link, "Develop/Update Performance Objectives" under the Performance Objectives heading on their Home Page (Example B).

Selecting the Employee:

Once either link is selected, the Rater will be taken to a page displaying a list of the employees he or she supervises. From this list, the Rater will select the employee for which he or she wishes to add/edit objectives (Example C).

The Missouri State Employee Online Performance Appraisal System



Monday, April 23, 2007 2:02:32 PM Welcome - ALLAN FORBIS (BDS\Perform_BDS) your role(s): [Admin](#) [Reviewer](#) [Rater](#)

[Home](#) [My Employees](#) [My Reviews](#) [System Administration](#) [Reports](#) [Online Help](#) [Log Out](#)

Home Page

Raters
[My Employee List](#)

- [View My Current Employees](#)

Performance Appraisals

- [Create New Appraisal](#)
- [Update Incomplete Appraisals / Overturn Completed Appraisals](#)
- [View Current Complete Appraisals](#)
- [View All Complete Appraisals](#)
- [All Incomplete Appraisals in Appraisals](#)

Performance Objectives

- [Develop/Update Performance Objectives](#)
- [View All Objectives Pending Employee Review](#)

Allows you to develop new objectives or access existing objectives for modification.

The Missouri State Employee Online Performance Appraisal System



Monday, April 23, 2007 1:43:10 PM Welcome - ALLAN FORBIS (BDS\Perform_BDS) your role(s): [Admin](#) [Reviewer](#) [Rater](#)

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[Home Page](#) > [Select Employee - Performance Objectives](#)

Employee List - Performance Objectives

[How to Add or Copy Objectives](#)

You are responsible for supervising and appraising the following employees. (Click on any column heading to sort data by that column in ascending order.) Click on an employee's name to develop/update performance objectives.

(2) total employees

Employee Name	Title Code	Job Title	Organization Name	Supervisor
LEVY, KELLY ANN	000493	TRAINING TECH III	PERS-STAFF	Yes
SCROGGINS, CYNTHIA	000493	TRAINING TECH III	PERS-STAFF	Yes

Example C

Entering Employee Performance Objectives into the PERforM System

Selecting the Appraisal Type:

Once the Rater clicks on the name of the employee for whom he/she wishes to add/edit objectives, the Rater will view the Develop/Update Performance Objectives screen.

From this screen, the Rater must select the type of appraisal for which the objectives will be used (Annual, Probationary or Special) and then click the 'Show Performance Objectives' button to proceed (Example D-1).

Adding Objectives for the Employee's Job Components:

After the selection has been made and the 'Show Performance Objectives' button has been clicked, the Rater will view the Develop/Update Performance Objectives screen which now displays the selected employee's objectives and provides options to add, edit and delete objectives or copy objectives from another employee (Example D-2).

To add objectives, the Rater will click the "Add Objectives" button. When the "Add Objectives" button is clicked, the Add Performance Objectives screen is opened (See Example E on the next page).

The Missouri State Employee Online Performance Appraisal System

PERforM
Productivity, Excellence and Results for Missouri

Monday, April 30, 2007 2:11:13 PM Welcome - ALLAN FORBES (BDS/Perform_BDS) your role(s): Admin Reviewer Rater

Home My Employees My Reviews System Administration Reports Online Help Log Out

Home Page > Select Employee - Performance Objectives > Develop/Update Performance Objectives

Employee Performance Objectives

Employee Information [Create New Appraisal](#)

Employee Name: LEVY, KELLY ANN Organization: PERS-STAFF
Job Title: TRAINING TECH III Supervisor: Yes

Select Type: Annual [Show Performance Objectives](#)

Example D-1

The Missouri State Employee Online Performance Appraisal System

PERforM
Productivity, Excellence and Results for Missouri

Monday, April 30, 2007 2:13:35 PM Welcome - ALLAN FORBES (BDS/Perform_BDS) your role(s): Admin Reviewer Rater

Home My Employees My Reviews System Administration Reports Online Help Log Out

Home Page > Select Employee - Performance Objectives > Develop/Update Performance Objectives

Employee Performance Objectives - Annual

Employee Information [Create New Appraisal](#)

Employee Name: LEVY, KELLY ANN Organization: PERS-STAFF
Job Title: TRAINING TECH III Supervisor: Yes

Select Type: Annual [Show Performance Objectives](#)

All Annual Performance Objectives have been reviewed with your employee and all the necessary signatures have been obtained on a Performance Plan document. Is this correct? ☐ Yes ☐ No

Performance Objectives Summary [Collapse Component Details](#) [Expand Component Details](#)

- (Knowledge of Work) has (3) objective(s)
- (Quality of Work) has (1) objective(s)
- (Situational Responsiveness) has (1) objective(s)
- (Initiative) does not have any objectives.
- (Dependability) does not have any objectives.
- (Performance Planning and Documentation) does not have any objectives.
- (Leadership Skills) does not have any objectives.
- (Management Skills) does not have any objectives.

(3) total objectives [Delete Selected Objectives](#) [Add Objectives](#) [Copy Objectives](#) [Performance Plan Print Preview](#)

Select All	Edit	Objective Description	Component Name
<input type="checkbox"/>	Edit	Displays a significant level of skill executing daily tasks	Knowledge of Work

Example D-2

Entering Employee Performance Objectives into the PERforM System

Using the Add Performance Objectives Screen (Example E), Raters can enter objectives by:

1. Typing the performance objective in the Objective Description field;
2. Choosing the component type the objective applies to from the drop-down list;
3. Clicking either "Save" or "Save & Add More."

When the Rater clicks **"Save,"** the new objective will be saved to the database and a message appears which indicates that the objective has been successfully added. The new objective appears in a list on the right side of the screen so that the Rater can see what objective they have added.

When a Rater clicks **"Save & Add More,"** the new objective will be saved to the database and the objective description will be cleared out. A message will appear indicating that the objective has been successfully added.

When the Rater goes back to the Develop/Update Performance Objectives screen, he or she can see all of the objectives they have assigned to the employee for the type of appraisal (Annual, Probationary or Special) they are working with.

The Missouri State Employee Online Performance Appraisal System

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Monday, April 30, 2007 2:18:50 PM Welcome - ALLAN FORBIS (BDS\Perform_BDS) your role(s): [Admin](#) [Reviewer](#) [Rater](#)

[Home](#) [My Employees](#) [My Reviews](#) [System Administration](#) [Reports](#) [Online Help](#) [Log Out](#)

[Home Page](#) > [Select Employee - Performance Objectives](#) > Develop/Update Performance Objectives

Employee Performance Objectives - Annual

Employee Information [Create New Appraisal](#)

Employee Name	LEVY, KELLY ANN	Organization	PERS-STAFF
Job Title	TRAINING TECH III	Supervisor	Yes

Objective Description
 Takes the initiative to anticipate necessary steps to complete work and prepare for those steps ahead of time.

Component
 Initiative

[Back to Objectives](#)

Objective successfully added.

(1) objectives added.

Performance Objectives	Component
Takes the initiative to anticipate necessary steps to complete work and prepare for those steps ahead of time.	Initiative

Example E

Communicating Performance Objectives to the Employee Printing the Performance Plan for the Employee to View and Sign:

Raters can print their employee's Performance Plan (Planning Document) using the following steps:

1. From the Develop/Update Performance Objectives Screen (Example F), select an Appraisal Type to work with and click the "Show Performance Objectives" button to execute the selection.

Select Type: Annual Show Performance Objectives

2. Next, click the "Performance Plan Print Preview" button.
3. Once selected, the printer-friendly version of the document is displayed (Example G).
4. Click the "Print" icon near the Missouri State Seal in the top right corner of the document. A printer dialog box will appear to select the desired printer.



Note: The print button on the tool bar and Ctrl-P functionality will also work. However, if used, the "Print" button icon will display on the printed form.

The Missouri State Employee Online Performance Appraisal System

PERforM
Productivity, Excellence and Results for Missouri

Monday, April 30, 2007 3:09:24 PM Welcome - ALLAN FORBIS (BDS\Perform_RDS) your role(s): Admin, Reviewer, Rater

Home My Employees My Reviews System Administration Reports Online Help Log Out

Home Page > Select Employee - Performance Objectives > Develop/Update Performance Objectives

Employee Performance Objectives - Annual

Employee Information [Create New Appraisal](#)

Employee Name: LEVY, KELLY ANN Organization: PERS-STAFF
Job Title: TRAINING TECH III Supervisor: Yes

Select Type: Annual Show Performance Objectives

All Annual Performance Objectives have been reviewed with your employee and all the necessary signatures have been obtained on a Performance Plan document. Is this correct? Yes No

Performance Objectives Summary [Collapse Component Details](#) [Expand Component Details](#)

- (Knowledge of Work) has (1) objective(s)
- (Quality of Work) has (2) objective(s)
- (Situational Responsiveness) has (1) objective(s)
- (Initiative) has (1) objective(s)
- (Dependability) has (1) objective(s)
- (Performance Planning and Documentation) has (1) objective(s)
- (Leadership Skills) has (1) objective(s)
- (Management Skills) has (1) objective(s)

(9) total objectives [Delete Selected Objectives](#) [Add Objectives](#) [Copy Objectives](#) [Performance Plan Print Preview](#)

Example F

PERforM THE MISSOURI STATE EMPLOYEE PLANNING AND APPRAISAL SYSTEM

Productivity, Excellence and Results for Missouri

Performance Plan - Annual

Employee's Performance Plan Details [<<< Back To Performance Objectives](#)

Employee Name LEVY, KELLY ANN
Supervisor Name FORBIS, ALLAN J.
Job Title TRAINING TECH III
Agency OFFICE ADMINISTRATION-OPER
Org PERS-STAFF
CIVS Description UCP MERIT SYSTEM CLASSIFIED
Percentage Fulltime 1.0
Months of Service 162.0
Appraisal Type Annual

Example G

Communicating Performance Objectives to the Employee

Performance objectives should be **clearly stated and communicated to the employee in person** so that the employee has an opportunity to confirm his or her understanding of the objectives.

Supervisors (Raters) will generate a Performance Plan document via PERforM for the employee to keep. Both the employee, the Rater and the Reviewer will document this communication by signing the Performance Plan. Each agency will determine how the original, signed Performance Plan will be retained.

In PERforM, this communication process is not considered complete until the Rater has verified in the system that the Performance Plan has been reviewed with the employee and all necessary signatures have been obtained on the Performance Plan. To achieve this verification, the Objectives Reviewed box on the Develop/Update Performance Objectives Screen is outlined in red until the radio button is switched to "Yes" by the Rater.

Employee Performance Objectives

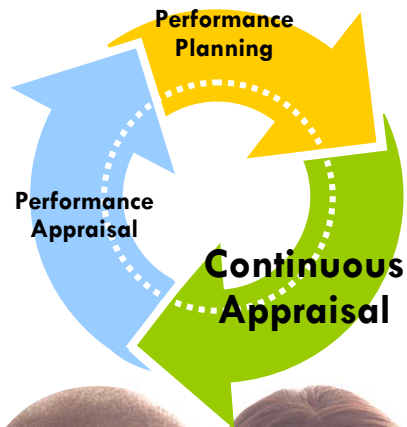
All Performance Objectives have been reviewed with your employee and all the necessary signatures have been obtained on a Performance Plan document. Is this correct?

☒ Yes ☐ No

Once the Rater has indicated they have reviewed the objectives with the employee by selecting "Yes," the red outline around the radio buttons disappears. The Rater cannot proceed with the Appraisal process until this action has been completed.

If at anytime during the appraisal period the Rater modifies the employee's performance objectives, the radio button will automatically switch from "Yes" to "No" and the red outline will reappear. This will indicate the Rater must repeat the review process. This includes printing a new Performance Plan document, reviewing the objectives with the employee and obtaining the necessary signatures on the Performance Plan document.

Note: It is important to note that simply selecting the "Yes" button does not initiate an appraisal. The Rater must go to the Appraisal functionality of the PERforM system and create an appraisal for each employee.



The Performance Cycle:

Continuous Observation, Documentation and Feedback during the Appraisal Period

The overall effectiveness of the appraisal process depends on regular feedback between the supervisor and employee. During this phase, the supervisor will observe and document instances that pertain to how well the employee is meeting his or her established performance objectives. Similarly, the employee should also be encouraged to discuss observations, issues or concerns about their job performance with the supervisor. This regular and timely communication allows the supervisor to work with the employee to address instances where performance objectives are not being met and provide a means to correct the problem to get the employee back on track. Recognizing instances of good performance and other successes pertaining to the employee's work can help to create the motivating atmosphere that allows the employee to excel in their job and attain even higher levels of job satisfaction.

The following action items are synonymous with improving the employee's current performance and building the employee's capabilities for the future during the appraisal process:

- ☐ Observing and documenting performance
- ☐ Providing instruction
- ☐ Directing the employee's efforts
- ☐ Providing encouragement
- ☐ Correcting poor performance
- ☐ Recognizing good performance
- ☐ Listening to employee concerns and ideas
- ☐ Removing barriers to performance
- ☐ Encouraging continued learning

Ultimately, ongoing communication between the supervisor and employee ensures that there are no surprises when the performance appraisal is held.

Observing and Documenting Performance:

What to observe:

- ☐ Important job duties
- ☐ Special projects and critical incidents
- ☐ Interactions with others
- ☐ Productivity vs. total activity
- ☐ Job performance and goal accomplishment – not personality

How to observe:

- ☐ Review work, either total output or a sample
- ☐ Observe employee work activity first-hand
- ☐ Self-reporting on progress by the employee
- ☐ Consult with others regarding the employee's performance
- ☐ Noting or investigating commendations or complaints

How to document:

- ☐ Be accurate; document only objective facts.
- ☐ Be balanced and fair.
- ☐ Document incidents that describe all levels of performance, not just EXCEPTIONAL or NEEDS IMPROVEMENT.
- ☐ Keep documentation on all employees.
- ☐ Document on a regular basis, not just when something “noteworthy” occurs.
- ☐ Make it defensible

Everything you write about an employee's performance—whether it is intended to be temporary or permanent—must be clear, accurate and free from bias for the following reasons:

A clear, written record of discussions about performance issues can prevent misunderstandings.

Clear documentation provides proof that employment decisions and actions were based on fair, objective, job-related criteria.

What you write about a person's performance can become a record in a legal proceeding if a performance decision is challenged in court.

Observing and Documenting Performance The Employee Performance Log

Performance Logs Include Critical Action Areas:

Date – Enter the date that each entry was made. If this does not correspond to the date on which performance occurred, be sure to specify significant dates in the Description of Performance or Comments section.

Description of Performance – Record a brief statement of what happened. Include any event, action or behavior associated with the employee's job performance that had either a positive or negative impact on the work of the unit. Remember that you are documenting a behavior, not an attitude or personality.

Impact – Briefly describe what happened (positive or negative) as a result of the employee's job performance.

Comment and/or follow-up – Include any information that will be useful to you, the employee, the Reviewer, or other supervisors. If coaching, counseling, or praise resulted from the performance, make a record of it here. Indicate any follow-up action you plan to take and the date or time period in which it is to take place.

Initial – This column may be used as best fits the situation. If the performance log is to be printed, this area can contain the initials of the Rater. It may also be used to provide a space where the employee can initial indicating his or her awareness of the entry.

Effective supervisors know that getting the best from their employees involves reinforcing positive behaviors as well as correcting negative behaviors. A balanced evaluation *at the end* of the appraisal period requires a balanced record of performance *throughout* the appraisal period.

Suggestions for Documenting Employee Performance:

1. Make a list of behaviors/results (positive and negative) you believe warrant documentation. Be aware of this list in your daily supervision activities.
2. If something strikes you as out of the ordinary, it is likely worth documenting and mentioning to the employee.
3. Discussing the log entry with the employee (or having the employee initial the entry) each time an entry is made ensures feedback.
4. Try to make frequent entries for each employee you supervise (weekly, bi-weekly, monthly). Reviewing the employee's performance objectives can help remind you of specific instances you may want to document.
5. Document observable behavior – not attitudes or personalities.
6. Keep your entries short and simple; one issue or behavior at a time.

Each agency may have specific policies or guidelines which further define the use of employee performance logs.

Observing and Documenting Performance Make it Defensible

It is essential that everything you write about an employee's performance—whether it is intended to be temporary or permanent—be clear, accurate and free from bias for the following reasons:

- ☐ A clear, written record of discussions about performance issues can prevent misunderstandings.
- ☐ Clear documentation provides proof that employment decisions and actions were based on fair, objective, job-related criteria.
- ☐ What you write about a person's performance can become a record in a legal proceeding if a performance decision is challenged in court.

Consult with you human resources office or your agency's legal counsel if you are unsure about what information to include as documentation regarding an employee's job performance.



Performance Feedback

Supervisors must communicate regularly with employees about their actual performance compared to performance objectives established in the planning phase.

An employee who is meeting or exceeding performance objectives should be recognized and praised to reinforce the desirable behavior.

It is also important to identify areas of weak performance and correct them as soon as possible.

Constructive feedback directs the employee's attention to the performance area/s not meeting the established performance objectives. This feedback should provide the employee with specific information on how to improve performance.

Encourage the employee's participation in the problem-solving process. The supervisor should respond to the employee's ideas and expand on them if necessary.

Feedback Guidelines:

- Information about the employee's performance should be **specific** and convey concise explanations to the employee to increase understanding.
- Feedback should be given in a **timely** fashion so that immediate action can be taken to encourage and maintain good performance and improve areas of poor performance.
- Feedback should be objective and **work-related**. It should focus on the employee's job performance. Avoid addressing personality traits, which encourages defensiveness. Putting labels on behavior like "Bob you're just not motivated" only personalizes the issue and may prompt the employee to become defensive—inhibiting future communication.
- **Frequent** feedback gives employees the opportunity to improve performance at an early stage and more likely to accept the need to improve.



Periodic Progress Reviews

While performance feedback should be an everyday, ongoing process for every supervisor, occasional formalized feedback helps in the overall evaluation. As a general guideline, progress reviews should be held on a quarterly basis (or as prescribed by the agency).

NOTE: If as a result of a periodic performance review (or any other reason) performance objectives for the employee are changed during the appraisal period, a new Performance Plan must be created using the PERforM system and presented to the employee.

A 4-Step Process to Periodic Reviews

STEP 1

Regularly observe and document each employee's performance. Enter performance related data into a "fact file" or "supervisor's log."

STEP 2

Regularly give each employee feedback on their performance that is specific, timely and work-related.

STEP 3

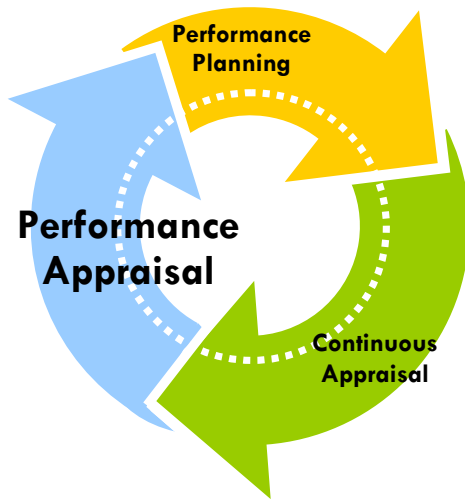
Plan for and schedule the progress review

- ☐ Explain to the employee that the purpose of the meeting will be to review performance objectives, and identify actions that can help the employee be even more effective at work.
- ☐ Review the employee's performance objectives.
- ☐ Review notes or other information you have obtained about the employee's work so far.
- ☐ Make a preliminary determination about how well the employee is meeting established objectives.
- ☐ Consider whether or not the employee's job performance or changing work priorities require the addition or deletion of any performance objectives.
- ☐ Make a list of any other issues you want to discuss.

STEP 4

Conduct the Meeting

- ☐ Ask the employee for a self-assessment of his or her performance.
- ☐ Add your perspective—sharing observations.
- ☐ Reinforce (positively) favorable performance and accomplishments.
- ☐ Discuss causes and solutions to any performance issues/problems.
- ☐ Ask how you can help the employee succeed.
- ☐ Discuss whether any changes you may have discussed justify modification of the employee's performance plan.



The Performance Cycle

Performance Appraisal

Performance review and appraisal is the final phase of the appraisal cycle. It involves the completion of the formal appraisal document containing ratings and comments for each of the employee's job components and overall comments about the employee's work during the appraisal period. It also includes a discussion between the supervisor and employee regarding:

- ☐ Where performance met, exceeded or did not meet expectations;
- ☐ Learning and development needed and received;
- ☐ Conduct and behavior issues relative to performance;
- ☐ Goals and/or work priorities set and achieved;
- ☐ Performance planning for the next appraisal period

Formal appraisals will/can be made at the following times prescribed by the agency:

- ☐ Annually (Required)
- ☐ At the completion of the probationary period
- ☐ When an employee resigns
- ☐ When the employee transfers to another division of state service
- ☐ When the employee is to be assigned to a different supervisor
- ☐ When the employee's performance warrants an appraisal



Common Rating Errors to Avoid

“Halo Effect”

“Pitchfork Effect”

“Stereotyping”

“Comparing”

“Similar-to-Me Effect”

“Central Tendency”



Using Comments to Explain and Support Rating Decisions

Supervisors (Raters) are encouraged to include written comments pertaining to each employee's performance components as well as overall comments regarding the employee's job performance on the employee's appraisal document.

Written Comments:

- ☐ Should provide direct, specific feedback to the employee regarding positive performance and/or problem or development areas.
- ☐ Should be expressed in the form of results statements that indicate the actual performance or results achieved for each component as compared to the established performance objectives.
- ☐ Be legally defensible.

Examples:

Sample Performance Objective

Research and write a grant proposal to study alternative energy sources that includes all requirements outlined in Guidelines for D.O.E. Grant Program by October 31.

Conduct, at a minimum, monthly reviews of all cases assigned to you and biweekly client contacts.

Sample Results Statement

You completed the grant proposal, which contained all the required information and followed the prescribed format on September 15, over one month ahead of schedule.

You are very knowledgeable about your caseload and are able to provide current information about any client assigned to you. For approximately three months during this rating period your client contacts did not meet the stated biweekly expectation. However, after our progress review, I noted immediate improvement and this has not been a problem since.

Writing Tips:

Always write comments to the employee being evaluated, not to the third person, "she" or "he."

Avoid comments that supply excuses such as *"Although probably more our fault than his, John has not been able to meet this objective."*

Try to strike a balance between comments that are too specific and too general. If comments are too specific, it may appear the supervisor is "nickel and diming" the employee. If comments are too general, the employee does not know exactly which behavior was on target—or needs attention.

Evaluating and Rating Employee Performance Components

At the conclusion of the defined appraisal period, in conjunction with providing comments regarding each employee's performance, Raters will use PERforM to rate the employee's performance in each performance component on a scale of 1 – 10. The score will reflect how well the employee performed with respect to **all** of the objectives listed for each component.

The following information is presented as a “**guideline**” to assist each rater in determining the appropriate rating to select for each applicable component.

	Component Rating Guidelines									
Rating	○ 1	○ 2	○ 3	○ 4	○ 5	○ 6	○ 7	○ 8	○ 9	○ 10
Using observation, documentation and feedback relevant to the employee’s performance during the appraisal period, determine which of the following ratings is appropriate for each component?	Needs Immediate Improvement The employee consistently failed to meet few – if any objectives for the job component.		Development Area The employee met some of the stated objectives for the job component – but sometimes fell short of others.		Shows Appropriate Ability The employee met most if not all of the stated objectives for the job component.		Shows Strength The employee met most and exceeded many of the established objectives for this job component.		Shows Exceptional Skill The employee consistently exceeded all stated objectives for this job component.	
	Needs Improvement			Successful			Outstanding		Exceptional	

Distribution of Performance Ratings

After the scores for each of the employee's performance components have been entered, PERforM will automatically calculate and indicate the employee's overall performance rating on the employee's appraisal form. Each employee will receive one of four possible performance ratings. The following general definitions of each rating are provided below to help distinguish among each level of performance.

Exceptional	Outstanding	Successful	Needs Improvement
<p>The employee performed as a model of excellence by surpassing expectations on a consistent basis for all performance objectives. Performance at this level leaves little, if anything to be desired. The employee rarely, if ever, requires supervision or follow-up and performs independently in planning, anticipating problems and taking appropriate action. The employee shows a good grasp of the "big picture" and thinks beyond the details of the job or project at hand.</p>	<p>The employee's performance frequently exceeds established performance objectives. This rating recognizes the employee's consistent effectiveness and accomplishments which are above normal expectations. Errors in judgment are rare and seldom repeated. With minimal supervision or follow-up, important jobs are completed on schedule and frequently surpass expected results.</p>	<p>The employee's work consistently meets the established performance objectives for each component and regularly achieves expected results. Job tasks are accomplished in a timely and acceptable manner, initiative and output are constant – and the employee is generally competent and knowledgeable in most if not all aspects of his or her job. If there are performance shortfalls, they are often attributed to newness on the job, missing or undeveloped skills or experience.</p>	<p>The employee's work inconsistently meets the established objectives for job components and indicates that critical tasks are not completed in the time or manner expected. Performance is below the minimum acceptable level – and the employee often requires close supervision, including step-by-step guidance. Immediate correction of performance is necessary.</p>

In conjunction with PERforM, a percentage distribution cap will allow up to a specific percentage of an agency's employees (who are required to receive an annual performance appraisal) to be rated in the Exceptional and Outstanding categories combined.

Each agency will establish their own distribution percentage (not to exceed any established statewide percentage) for Exceptional and Outstanding categories and establish procedures to monitor the number of employees who actually merit this distinction.

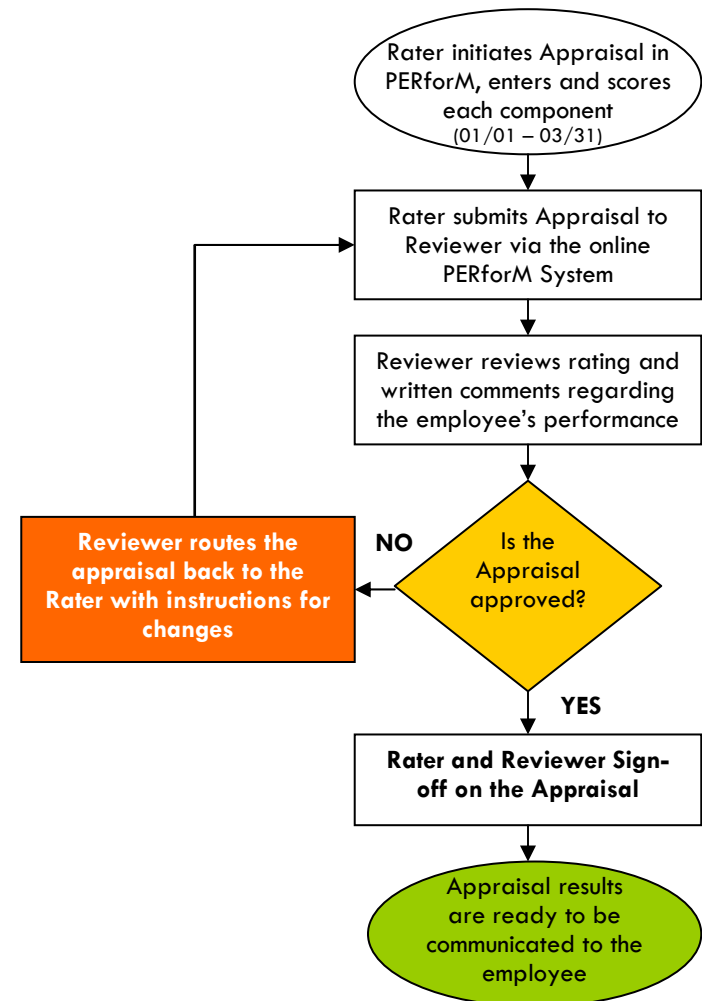
Next Level Approval (Communication between Rater and Reviewer)

Once the Rater has rated each component and prepared written comments for the employee in the PERforM system, the Rater will submit the appraisal to his or her immediate supervisor (Reviewer) for approval. The Reviewer will either approve the appraisal or disapprove the appraisal and recommend or require the Rater to adjust the appraisal and resubmit if for further review (the Reviewer cannot make changes to the appraisal).

Only after the appraisal is approved by the Reviewer can it be presented to the employee.

Once the employee, Rater and Reviewer have signed the appraisal, it will be considered a completed appraisal and changes cannot be made.

Appraisal Approval Process Flow



Employee Comments and Response

The employee should be given time to present any comments he or she feels appropriately address the overall performance rating and/or written comments included on his or her appraisal document.

If the employee would like to include a written response to the appraisal, the Rater may attach the employee's comments to the Appraisal.

Employees who believe the numerical score received for a component/s – or the overall rating received for the appraisal period – was not accurate may request that the score or rating be reviewed. This process should be conducted in a manner to resolve issues quickly and fairly.

Unless otherwise defined by the agency, this process should:

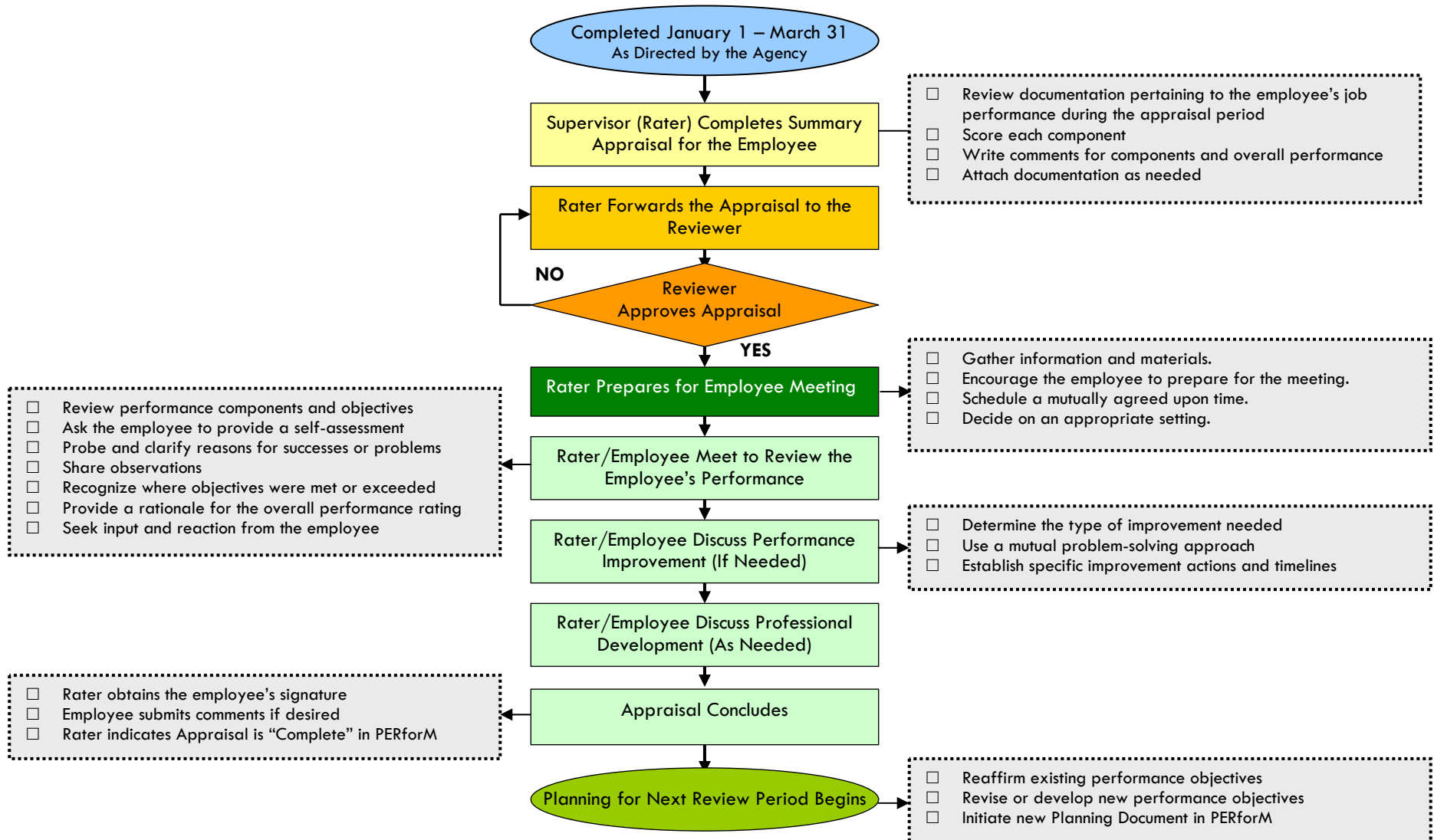
- ☐ Define who the employee's comments should be addressed to (Rater, Reviewer, other designated individual).
- ☐ Allow the employee five (5) working days to respond in writing to the appropriate individual concerning the content of the rating or procedures used to determine the rating.

Information received from the employee will be reviewed and considered by the designated individual. If the employee's score or rating should be changed, the appraisal score or rating will be overturned and the Rater will change the appraisal document. A new appraisal document will be generated via PERforM, printed, signed and given to the employee.

If, after review of the employee's comments, the appraisal is upheld, the employee will receive a written response from the designated individual, which at a minimum will acknowledge the employee's concern and provide the final determination regarding the employee's rating. This documentation, along with the employee's response will be filed with the employee's appraisal as a permanent record.

Find more information regarding the PERforM screens and process associated with overturning appraisals at www.perform.mo.gov

The Annual Appraisal Rating Process



Creating An Employee Appraisal Using PERforM

Once the Rater is ready to create the employee's Appraisal, the process of doing so in PERforM is very similar to the process of creating a Performance Plan.

Initiating the Process:

From the Rater's Home Page, he or she can either select this function from the drop-down menu under "My Employees" or by using the link, "Create New Appraisals" under the Performance Appraisals heading. (Example H)

Selecting the Employee:

Once either link is selected, the Rater will be taken to a page displaying a list of the employees he or she supervises (Employee List – Performance Appraisal screen). From this list, the Rater will select the employee for whom he or she wishes to create an appraisal. (Example I)

Once the Rater selects (clicks) the employee's name, a window opens that provides the option to select the type of Appraisal the Rater wishes to create (Annual, Probationary or Special). The Rater will select the Appraisal type and click the "OK" button. (Example J)

The screenshot shows the PERforM Home Page. At the top, there is a banner with the PERforM logo and the text "The Missouri State Employee Online Performance Appraisal System". Below the banner, there is a navigation bar with links: Home, My Employees, My Reviews, System Administration, Developer, My Agency Admins, Reports, Online Help, and Log Out. A dropdown menu is open under "My Employees", showing options: Create New Appraisal, Develop / Update Performance Objectives, Search Appraisals, Update Incomplete Appraisals, Overturn Completed Appraisals, View All Complete Appraisals, View All Incomplete Appraisals, View All Objectives Pending Employee Review, View Complete Current Appraisals, and View My Current Employees. On the right side, there is a section titled "Performance Appraisals" with links: Create New Appraisal, Update Incomplete Appraisals / Overturn Completed Appraisals, and View Current Complete Appraisals.

Example H

The screenshot shows the "Employee List - Performance Appraisals" page. It includes a breadcrumb trail: Home Page > Select Employee - Performance Appraisals. Below the breadcrumb, there is a section titled "Employee List - Performance Appraisals" with a description: "You are responsible for supervising and appraising the following employees. (Click on any column heading to sort data by that column in ascending order.) Click on an employee's name to create a new performance appraisal. (14) total employees". A table lists employees with columns: Employee Name, Title Code, Job Title, Org Name, Supervisor, and Annual Required. The table contains two rows: BAKER, BUDDY A. and BUSCH, KURT.

Employee Name	Title Code	Job Title	Org Name	Supervisor	Annual Required
BAKER, BUDDY A.	000165	COMPUTER INFO TECH SPEC I	ITSD-OFFICE AUTOMATION	Yes	Yes
BUSCH, KURT	000165	COMPUTER INFO TECH SPEC I	ITSD-OFFICE AUTOMATION	No	Yes

Example I

The screenshot shows the "Select New Appraisal Type" window. It includes a breadcrumb trail: Home Page > Select Employee - Performance Appraisals > Select Appraisal Type. Below the breadcrumb, there is a section titled "Select New Appraisal Type" with a link: How to Evaluate and Rate Employee Performance Objectives. A table displays employee information: Employee Name (STEWART, TONY), Job Title (COMPUTER INFO TECH SPEC II), Organization (ITSD-SYSTEMS & PROGRAMMING), and Supervisor (No). Below the table, there is a dropdown menu for "Select New Appraisal Type" with "Annual" selected. At the bottom, there are buttons for "OK", "Cancel", and a checkbox for "Enable Quick Scoring".

Example J

Creating An Employee Appraisal in PERforM

Entering Comments for Performance Components and Overall Job Performance

Once the Rater selects the Appraisal Type, he or she will arrive at the Create Performance Appraisal screen. (Example K)

The employee's performance objectives will be listed under each corresponding performance component. A comment field will be available to provide specific performance related comments for each component.

The supervisor can enter and edit comments for components and overall performance comments in the appropriate comment fields. Each field will hold up to 1000 characters. To create a comment, the Rater simply positions his or her cursor in the comments field and begins typing. The text is saved in the field each time the Rater saves the Appraisal.

Written comments can be added, modified and deleted until the time the Appraisal has been approved by the Reviewer.

Raters must supply a written comment for each component receiving a score of either 1 or 10.

Learn more about each function and screen in the PERforM system at www.perform.mo.gov

The Missouri State Employee Online Performance Appraisal System

PERforM
Productivity, Excellence and Results for Missouri

Wednesday, April 11, 2007 1:49:40 PM Welcome - VANESSA WETCH [Admin](#) [Agency Admin](#) [Developer](#) [Reviewer](#) [Rater](#)

[Home](#) [My Employees](#) [My Reviews](#) [System Administration](#) [Developer](#) [My Agency Admins](#) [Reports](#) [Online Help](#) [Log Out](#)

[Home Page](#) > [Select Employee - Performance Appraisals](#) > [Select Appraisal Type](#) > Create Performance Appraisal

Create New Appraisal [How to Evaluate and Rate Employee Performance Objectives](#)

Employee Details			
Employee Name	STEWART, TONY	Job Title	COMPUTER INFO TECH SPEC II
Supervisor Name	WETCH, VANESSA	CIVS Description	UCP MERIT SYSTEM CLASSIFIED
Agency	OFFICE ADMINISTRATION-OPER	Percentage Fulltime	1.0
Organization	ITSD-SYSTEMS & PROGRAMMING	Months of Service	115.0 months

Performance Appraisal Details			
Appraisal Type	Annual	Rating Period	1/1/2007 - 5/31/2007
Appraisal Status	New	Appraisal Date	4/11/2007 1:49:29 PM
		Overall Score	-
		Overall Rating	-

1. Knowledge of Work Rating: ● 1 ● 2 ● 3 ● 4 ● 5 ● 6 ● 7 ● 8 ● 9 ● 10

Performance Objectives:

Comments:

5. Dependability Rating: ● 1 ● 2 ● 3 ● 4 ● 5 ● 6 ● 7 ● 8 ● 9 ● 10

Performance Objectives:

Condensed View

Comments:

Overall Comments:

Example K

Rating Performance Components Using PERforM

All components for each employee are rated (or scored) on the Create Performance Appraisal screen by selecting a value from 1-10 (1 being the lowest possible score and 10 being the highest). In Example L, a rating value of 5 has been selected for the Knowledge of Work component.

Once all components have been rated (or scored), the Rater can click the “Calculate” button to calculate the rating and populate the worded rating. When an appraisal is calculated, the overall score and overall rating are displayed at the top of the appraisal form as well as the bottom of the form. (Example M)

The overall score and overall rating fields do not retain their properties until the Appraisal is submitted. Consequently, the Rater can use this feature to determine the employee’s overall rating based upon different scoring combinations he or she may select for the components.

If necessary, the Rater can save the appraisal by clicking the “Save” button and work on it again at a later time. The Appraisal Status is set to “In Progress” when the appraisal has been saved. (Example N)

When the Rater has entered all comments for the employee and determined the employee’s appraisal rating, the Rater will click the “Submit” button at the bottom of the Create Performance Appraisal Screen to send the appraisal to the Reviewer for approval/disapproval. The Appraisal Status will now be set to “Pending.” (Example O)

1. Knowledge of Work Rating ● 1 ● 2 ● 3 ● 4 ● 5 ● 6 ● 7 ● 8 ● 9 ● 10

Performance Objectives:

Example L

Comments:

Overall Comments:

Appraisal Status: **In Progress** Overall Score: 5.14443 Overall Rating: Successful

Calculate Save Submit Exempt & Submit Complete Appraisal Overturn Appraisal Attachments Sticky Notes Print Preview

Example M

Appraisal Status: **In Progress** Overall Score: 4.14443 Overall Rating: Successful

Appraisal has been saved, it has not been submitted to the reviewer yet.

Calculate Save Submit Exempt & Submit Attachments Print Preview

Example N

Appraisal Status: **Pending** Overall Score: 5.14443 Overall Rating: Successful

Appraisal has been Submitted to the reviewer for approval

Calculate Save Submit Exempt & Submit Complete Appraisal Overturn Appraisal Attachments Sticky Notes Print Preview

Example O

Including Additional Performance Documentation in PERforM

The PERforM system allows Raters who wish to include specific performance documentation for their employees to include numerous files (documents).

The list of acceptable file types will include:
Microsoft Word, TIFF, JPEG, PDF, PDF/A and Excel.

This feature can be used once the Appraisal is in the "In Progress" status.

Raters can use this feature by clicking the "Attachment" button at the bottom of the Create Performance Appraisal Screen. (Example P)

Note: The attachment feature is available once the Appraisal is initiated and "Saved." It is not necessary to have any ratings or comments entered.

Learn more about the attachment feature and each function in PERforM at www.perform.mo.gov

Comments:

5. Dependability

Performance Objectives:

Comments:

Overall Comments:

Appraisal Status: Pending

Calculate Save Submit

Done Internet

Example P

Completing the Appraisal Process in PERforM

The approved and signed Appraisal should be printed by the Rater and presented to the employee with any applicable documentation that supports the rating. The employee should sign the Appraisal at the time it is presented to document that the rating discussion occurred and that he or she was furnished with a copy of the Appraisal.

To indicate the conclusion of the appraisal rating process in PERforM, the Rater must change the Appraisal status to "Complete."

To accomplish this, the Rater will click on the Update Incomplete Appraisals/ Overturn Completed Appraisals link on his or her Home Page to open the Select Appraisal screen (Example Q). The Rater will then click on the Edit link in front of the employee's name.

The Edit Performance Appraisal screen will open with the selected employee's appraisal. The Rater will scroll down to the bottom of the screen and click the "Complete Appraisal" button. (Example R)

The Select Appraisal page now shows the employee's appraisal as "Complete." (Example S)

Learn more about each function and screen in the PERforM system at www.perform.mo.gov

Select Appraisal

The following are existing appraisals within current appraisal period (calendar year) that have not been completed (locked).

(7) appraisals

Edit		Employee Name	Job Title	Organization	Supervisor	Type	Status	Date Modified
Edit		BAKER, BUDDY A.	COMPUTER INFO TECH SPEC I	ITSD-OFFICE AUTOMATION	WETCH, VANESSA	Annual	Pending	04/09/2007
Edit		BUSCH, KURT	COMPUTER INFO TECH SPEC I	ITSD-OFFICE AUTOMATION	WETCH, VANESSA	Annual	Disapproved	04/11/2007
Edit	NEW	JARRETT, DALE P.	COMPUTER INFO TECH SPEC I	ITSD-STATE DATA CENTER	WETCH, VANESSA	Annual	Approved	04/12/2007
Edit		MAYFIELD, JEREMY	COMPUTER INFO TECH SPEC I	ITSD-STATE DATA CENTER	WETCH, VANESSA	Annual	Approved	04/12/2007
Edit		STEWART, TONY	COMPUTER INFO TECH	ITSD-SYSTEMS &	WETCH, VANESSA	Annual	Disapproved	04/11/2007

Example Q

Edit Performance Appraisal

Employee Details

Employee Name	MAYFIELD, JEREMY	Job Title	COMPUTER INFO TECH SPEC I
Supervisor Name	WETCH, VANESSA	CIVS Description	UCPY
Agency	OFFICE ADMINISTRATION-OPER	Percentage Fulltime	0
Organization	ITSD-STATE DATA CENTER	Months of Service	142.0

Performance Appraisal Details

Appraisal Type	Annual	Rating Period	01/01/2007 - 05/31/2007	Overall Score	5.02
Appraisal Status	Approved	Appraisal Date	4/10/2007 3:38:51 PM	Overall Rating	Successful

1. Knowledge of Work	Rating	1	2	3	4	5	6	7	8	9	10
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Performance Objectives:

Appraisal Status	Complete	Overall Score	5.02	Overall Rating	Successful
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The appraisal has been completed and locked

Calculate Save Submit Exempt & Submit **Complete Appraisal** Overturn Appraisal Attachments Sticky Notes Print Preview

Example R

Edit	NEW	P.	SPEC I	ITSD-STATE DATA CENTER	VANESSA	Annual	Approved	04/12/2007
Edit		MAYFIELD, JEREMY	COMPUTER INFO TECH SPEC I	ITSD-STATE DATA CENTER	WETCH, VANESSA	Annual	Complete	04/12/2007
Edit		STEWART, TONY	COMPUTER INFO TECH	ITSD-SYSTEMS &	WETCH, VANESSA	Annual	Disapproved	04/11/2007

Example S

A D D E N D U M

Action Verbs

This list of action verbs can be used to assist Raters in writing performance objectives for employees.

Administer - Manage or direct the execution of affairs.

Adopt - Take up and practice on one's own.

Advise - Recommend a course of action; offer an informed opinion based on specialized knowledge.

Analyze - Separate into elements and critically examine.

Anticipate - Foresee and deal with in advance.

Appraise - Give an expert judgment of worth or merit.

Arrange - Make preparation for an event; put in proper order.

Assemble - Collect or gather together in a predetermined order from various sources.

Assign - Specify or designate tasks or duties to be performed by others.

Assume - Undertake; take for granted.

Assure - Give confidence; make certain of.

Authorize - Approve; empower through vested authority.

Calculate - Make a mathematical computation.

Circulate - Pass from person to person to place.

Clean - To remove dirt or make tidy.

Collaborate - Work jointly with; cooperate with others.

Collect - Gather

Compile - Put together information; collect from other documents.

Conduct - Carry on; direct the execution of.

Consolidate - Bring together.

Construct - Build, make or modify

Consult - Seek the advice of others.

Control - Measure, interpret, and evaluate actions for conformance with plans or desired results.

Coordinate - Regulate or combine the actions of others.

Correlate - Establish a reciprocal relationship.

Correspond - Communicate with.

Delegate - Empower another to perform tasks or duties that may carry specific degrees of accountability.

Deliver - Carry to intended designation.

Design - Conceive, create and execute according to plan.

Determine - Resolve; fix conclusively.

Develop - Disclose, discover, perfect or unfold a plan or idea.

Direct - Guide work operations through the establishment of objectives, policies, rules, practices, methods and standards.

Discuss - Exchange views for the purpose of arriving at a conclusion.

Dispose - Get rid of.

Disseminate - Spread or disperse information.

Distribute - Deliver to proper destinations.

Draft - Prepare papers or documents in a preliminary form.

Establish - Bring into existence.

Estimate - Forecast future requirements.

Evaluate - Determine or fix the value of.

Expedite - Accelerate the process or progress of.

Formulate - Develop or devise.

Furnish - Provide with what is needed; supply.

Implement - Carry out, execute a plan or program.

Improve - Make something better.

Initiate - Start or introduce.

Inspect - Critically examine for suitability.

Install - To set up or use.

Interpret - Explain something to others.

Investigate - Study through close examination and systemic inquiry.

Issue - Put forth or distribute officially.

Maintain - Keep in an existing state.

Monitor - Watch, observe, or check with an eye to reach agreement.

Notify - Make known to.

Operate - Perform an activity or series of activities.

Participate - Take part in.

Perform - Fulfill or carry out some action.

Plan - Devise or project the realization of a course of action.

Practice - Perform work repeatedly in order to gain proficiency.

Prepare - Make ready for a particular purpose.

Proceed - begin to carry out an action.

Process - Subject something to special treatment, handle in accordance with prescribed procedure.

Propose - Declare a plan or intention.

Provide - Supply what is needed; furnish.

Recommend - Advise or counsel a course of action; offer or suggest for adoption.

Repair - Fix or make usable.

Represent - Act in the place of or for.

Report - Give an account of; furnish information or data.

Research - Inquire into a specific matter from several approaches.

Review - Examine or re-examine.

Revise - Rework in order to correct or improve.

Schedule - Plan a timetable.

Secure - Gain possession of; make safe.

Select - Choose the best suited.

Specify - State precisely in detail or name explicitly.

Submit - Present for the discretion or judgment of others.

Supervise - Oversee, direct, inspect, or guide the work of others with responsibility for meeting standards of performance.

Train - Teach or guide others in order to bring up to a predetermined standard.

Verify - Confirm or establish authenticity; substantiate.

Write - To compose or edit.